

Faxed to 703-872-9306 on 01/23/2004

PTO/SB/08B (08-03)

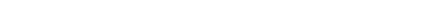
Approved for use through 07/31/2006. OMB 0851-0031

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

<p>Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.</p> <p>Substitute for form 1449/PTO</p> <p>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</p> <p>(Use as many sheets as necessary)</p>				<p>Complete If Known</p>		
				Application Number	09/788,303	RECEIVED
				Filing Date	02/16/2001	SENTRAL FAX CENTER
				First Named Inventor	Sercel	JAN 23 2004
				Art Unit	2877	
				Examiner Name	Michael P. Mooney	
Sheet	1	of	1	Attorney Docket Number	ALG06NP	

NON-PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
Jmpn		Sai T. Chu, Wugen Pan, Shinya Sato, Taro Kaneko, Brent E. Little, and Yasuo Kokubun, "Wavelength trimming of a microring resonator filter by means of a UV sensitive polymer overlay", IEEE Photonics Tech. Lett. Vol. 11 p. 688 (1999)	

Examiner Signature		Date Considered	2/9/04
-----------------------	---	--------------------	--------

***EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PTO/SB/08A (10-01)

Approved for use through 10/31/2002. OMB 0651-0031

Approved for use 03/09/2003
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
OMB Control Number 2025
This form is mandatory by law. Do not use this application unless it contains a valid OMB

Under the Paper
control number.

Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 1 of 4

<p>Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.</p> <p>Substitute for form 1449A/PTO</p> <p>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</p> <p>(use as many sheets as necessary)</p>				<p>Complete if Known</p> <table border="1"> <tr> <td>Application Number</td> <td>09/788,303</td> </tr> <tr> <td>Filing Date</td> <td>02/16/2001</td> </tr> <tr> <td>First Named Inventor</td> <td>Sercel</td> </tr> <tr> <td>Art Unit</td> <td>1731</td> </tr> <tr> <td>Examiner Name</td> <td>John Hoffman</td> </tr> <tr> <td>Attorney Docket Number</td> <td>ALG06NP</td> </tr> </table>		Application Number	09/788,303	Filing Date	02/16/2001	First Named Inventor	Sercel	Art Unit	1731	Examiner Name	John Hoffman	Attorney Docket Number	ALG06NP
Application Number	09/788,303																
Filing Date	02/16/2001																
First Named Inventor	Sercel																
Art Unit	1731																
Examiner Name	John Hoffman																
Attorney Docket Number	ALG06NP																
Sheet	1	of	4														

U.S. PATENT DOCUMENTS

U.S. PATENT DOCUMENTS					
Examiner Initials	Cite No. ¹	Document Number Number - Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Column, Lines, Where Relevant Passages or Relevant Figures Appear
mjm		US- 09/440,311	filed 11-12-1999	Vahala et al	
		US- 09/454,719	filed 12-07-1999	Vahala et al	
		US- 09/733,357	filed 12-07-2000	Yariv	
		US- 09/802,442	filed 03-09-2001	Painter et al	
		US- 60/183,499	filed 02-17-2000	Sercel et al	
		US- 60/226,147	filed 08-18-2000	Sercel et al	
		US- 60/257,248	filed 12-21-2000	Painter et al	
		US- 09/788,331	filed 02-16-2001	Sercel et al	10
		US- 09/788,300	filed 02-16-2001	Vahala et al	11
		US- 09/788,301	filed 02-16-2001	Sercel et al	12
		US- 6,101,300	iss 08-08-2000	Fan et al	13
		US- 5,281,247	iss 01-25-1994	Haruhiko et al	14
		US- 5,928,525	iss 07-27-1999	Ohtsu et al	15
		US- 4,932,989	iss 06-12-1990	Presby	16
		US- 6,084,998	iss 07-04-2000	Straaver	17
		US- 5,138,676	iss 08-11-1992	Stowe et al	18
		US- 5,751,242	iss 05-12-1998	Goutzoulis et al	19
		US- 5,586,205	iss 12-17-1996	Chen et al	20
		US- 5,729,641	iss 03-17-1998	Chandonnet et al	21
mjm		US- 4,798,438	iss 01-17-1989	Moore et al	22

FOREIGN PATENT DOCUMENTS

Examiner
Signature

Michael P. Mooney

Date
Considered

2/9/04

***EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in
reference considered. Include copy of this form with next communication to applicant.

EXAMINER: _____ conformance and not considered. Include copy of this form with next communication to App. 1. Applicant's unique citation designation number (optional). 2 See Keys Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

appropriate symbols as indicated on the document sheet. An English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the complexity of the information being reported. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

RECEIVED



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

PTO/SB/08A (10-01)

Approved for use through 10/31/2002. OMB 0651-0031
U.S. DEPARTMENT OF COMMERCE

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Information contained herein is not a commercial product and is not subject to disclosure under the Freedom of Information Act, unless it contains a valid OMB

<p>Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.</p> <p>Substitute for form 1449A/PTO</p> <p>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</p> <p>(use as many sheets as necessary)</p>				<p>Complete if Known</p>	
Sheet	2	of	4	Application Number	09/788,303
				Filing Date	02/16/2001
				First Named Inventor	Sercel
				Art Unit	1731
				Examiner Name	John Hoffman
				Attorney Docket Number	ALG06NP

Examiner Signature	<i>Rich P. Morris</i>	Date Considered	2/9/04
-----------------------	-----------------------	--------------------	--------

***EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in context considered. Include copy of this form with next communication to applicant.

conformance and not considered. Include copy of this form with your communication to applicant.
1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

English language Translation is attached.
Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

OCT 10 2002
PATENT & TRADEMARK OFFICE

PTO/SB/08B (10-01)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 3 of 4

Complete if Known

Application Number	09/788,303
Filing Date	02/16/2001
First Named Inventor	Sercel
Group Art Unit	1731
Examiner Name	John Hoffman
Attorney Docket Number	ALG06NP

RECEIVED
OCT 15 2002
U.S. PATENT & TRADEMARK OFFICE

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No. 1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), data, page(s), volume-issue number(s), publisher, city and/or country where published.
MPH		J. C. Knight, G. Cheung, F. Jacques, and T. A. Birks, "Phased-matched excitation of whispering gallery-mode resonances by a fiber taper", Optics Letters Vol. 22 1129 (1997)
		Andreas Othonos, "Fiber Bragg gratings", Rev. Sci. Instrum. Vol. 68(12) 4309 (1997)
		G. Meltz et al., "Bragg grating formation and germanosilicate fiber photosensitivity", SPIE Vol 1516 Int. Workshop on Photoinduced Self-organization in Optical Fiber (1991)
		T. Erdogan, V. Mizrahi, P. J. Lemaire, and D. Monroe, "Decay of UV-induced fiber Bragg gratings", J. Appl. Phys. Vol. 76 73 (1994)
		H. M. Presby, A. F. Benner, and C. A. Edwards, "Laser micromachining of efficient fiber microlenses", Applied Optics Vol 29(18) 2692 (1990)
		G. Eisenstein and D. Vitello, "Chemically etched conical microlenses for coupling single-mode lasers into single-mode fibers", Applied Optics Vol 21(19) 3470 (1981)
		D. S. Starodubov, V. Grubsky, Jack Feinberg, B. Kobrin, and S. Juma, "Bragg grating fabrication in germanosilicate fibers by use of near-UV light: a new pathway for refractive index changes", Optics Letters, Vol 22(14) 1086 (1997)
		K. O. Hill, B. Malo, F. Bilodeau, D. C. Johnson, and J. Albert, "Bragg gratings fabricated in monomode photosensitive optical fiber by UV exposure through a phase mask", Appl. Phys. Lett., Vol 62(10) 1035 (1993)
		K. O. Hill, F. Bilodeau, B. Malo, T. Kitagawa, S. Theriault, D. C. Johnson, J. Albert, and K. Takiguchi, "Chirped in-fiber Bragg gratings for compensation of optical-fiber dispersion", Optics Letters, Vol 19(17) 1314 (1994)
		S. V. Frolov, Z. V. Vardeny, and K. Yoshino, "Plastic microring lasers on fibers and wires", Applied Physics Letters Vol 72(15) 1802 (1998)
MPH		S. V. Frolov, A. Fujii, D. Chinn, Z. V. Vardeny, K. Yoshino, and R. V. Gregory, "Cylindrical microlasers and light emitting devices from conducting polymers", Applied Physics Letters, Vol 72(22) 2811 (1998)

Examiner
Signature

Mark W. Mooney

Date
Considered

2/9/04

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

OCT 10 2002

PTO/SB/088 (10-01)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 4 of 4

Complete if Known	
Application Number	09/788,303
Filing Date	02/16/2001
First Named Inventor	Sercel
Group Art Unit	1731
Examiner Name	John Hoffman
Attorney Docket Number	ALG06NP

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No. 1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published
M P M		N. Dubreuil, J. C. Knight, D. K. Leventhal, V. Sandoghdar, J. Hare, and V. Lefevre, "Eroded monomode optical fiber for whispering-gallery mode excitation in fused-silica microspheres", Optics Lett. 20 813 (1995)
M P M		M. Kuwata-Gonokami, R. H. Jorden, A. Dodabalapur, H. E. Katz, M. L. Schilling, R. E. Slusher, and S. Ozawa, "Polymer microdisk and microring lasers", Optics Letters Vol 20(20) 2903 (1995)
		Y. Kawabe, Ch. Spiegelberg, A. Schulgen, M. F. Nabor, B. Kippelen, E. A. Mash, P. M. Allemand, M. Kuwata-Gonokami, K. Takeda, and N. Peyghambarian, "Whispering-gallery-mode microring laser using a conjugated polymer", Applied Physics Letters Vol 72(2) 141 (1998)

Examiner
Signature

Mehl P. Mooney

Date Considered

29/04

***EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.**

1. Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.